IFW

PTO/SB/21 (09-04)

TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	10/656,507
Filing Date	September 4, 2003
First Named Inventor	Satoshi Oshima
Art Unit	2131
Examiner Name	Unassigned

Total Number of Pages in This Submission	7
Attorney Docket Number	16869K-092500US

ENCLOSURES *(Check all that apply)*

- [ ] Fee Transmittal Form
  - [ ] Fee Attached
- [ ] Amendment/Reply
  - [ ] After Final
  - [ ] Affidavits/declaration(s)
- [ ] Extension of Time Request
- [ ] Express Abandonment Request
- [ ] Information Disclosure Statement
- [ ] Certified Copy of Priority Document(s)
- [ ] Reply to Missing Parts/ Incomplete Application
  - [ ] Reply to Missing Parts under 37 CFR 1.52 or 1.53

- [ ] Drawing(s)
- [ ] Licensing-related Papers
- [x] **Resubmission of Petition to Make Special**
- [ ] Petition to Convert to a Provisional Application
- [ ] Power of Attorney, Revocation Change of Correspondence Address
- [ ] Terminal Disclaimer
- [ ] Request for Refund
- [ ] CD, Number of CD(s) _____
  - [ ] Landscape Table on CD

- [ ] After Allowance Communication to TC
- [ ] Appeal Communication to Board of Appeals and Interferences
- [ ] Appeal Communication to TC (Appeal Notice, Brief, Reply Brief)
- [ ] Proprietary Information
- [ ] Status Letter
- [x] Other Enclosure(s) (please identify below):
  Return Postcard
  Copies of Express Mail Label, Returned Receipt Postcard, Transmittal Form and Fee Transmittal, *Petition*

Remarks	The Commissioner is authorized to charge any additional fees to Deposit Account 20-1430.

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm Name	Townsend and Townsend and Crew LLP
Signature	*(signature)*
Printed name	Chun-Pok Leung
Date	February 1, 2005
Reg. No.	41,405

CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

Signature	*(signature)*
Typed or printed name	Joy Salvador
Date	February 1, 2005

60411535 v1

BEST AVAILABLE COPY

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:	Examiner: Unassigned
SATOSHI OSHIMA et al.	Technology Center/Art Unit: 2131
Application No.: 10/656,507	Confirmation No.: 8026
Filed: September 4, 2003	**RESUBMISSION OF** PETITION TO MAKE SPECIAL FOR NEW APPLICATION UNDER M.P.E.P. § 708.02, VIII & 37 C.F.R. § 1.102(d)
For: METHOD FOR UPDATING SECURITY INFORMATION, CLIENT, SERVER AND MANAGEMENT COMPUTER THEREFOR	
Customer No.: 20350	

MAIL STOP PETITION
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

The enclosed Petition to Make Special was filed on June 17, 2004. Also enclosed is a copy of the Express Mail label stamped June 17, 2004, the return postcard stamped June 17, 2004, the Transmittal Form, and the Fee Transmittal.

The Petition has not been entered according to Patent Application Information Retrieval (PAIR).

In view of the foregoing, Applicants respectfully request entry of the Petition and issuance of a first Office Action at an early date.

Respectfully submitted,

Chun-Pok Leung
Reg. No. 41,405

TOWNSEND and TOWNSEND and CREW LLP
Two Embarcadero Center, 8th Floor
San Francisco, California 94111-3834
Tel: 650-326-2400; Fax: 415-576-0300
Attachments
RL:rl
60411525 v1

EV 337294840 US

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16869K-092500US RL:jbs

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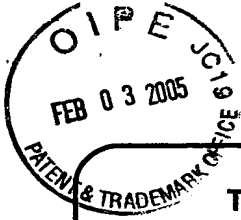
TO THE U.S. PATENT AND TRADEMARK OFFICE:
Please stamp your date of receipt of the following documents and return this card to addressee:

Attny. Docket No.:	16869K-092500US
Application No.:	10/656,507
Titled:	Method for Updating Security Information, Client, Server and Management Computer Therefor
Inventor(s):	Satoshi Oshima, et al.
Date Mailed:	June 17, 2004
Atty/Secy:	RL:jbs

Enclosed
1) Transmittal
2) Fee Transmittal - in duplicate
3) Preliminary Amendment
4) Petition to Make Special
5) Related References (5): USP Appln. Nos. 2001/0025346, 2003/0126441, 2002/0157016, US Pat. No. 6,453,418, Int'l. Pat. Publn. No. WO 03/028840A2
6) Return Postcard

60242183 v1

EV337294840US

PTO/SB/21 (02-04)

TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	10/656,507
Filing Date	September 4, 2003
First Named Inventor	OSHIMA, Satoshi
Art Unit	2131
Examiner Name	Unassigned
Attorney Docket Number	16869K-092500US

Total Number of Pages in This Submission — 15 + refs.

ENCLOSURES *(Check all that apply)*

☒ Fee Transmittal Form
   ☐ Fee Attached
☒ Preliminary Amendment
   ☐ After Final
   ☐ Affidavits/declaration(s)
☐ Extension of Time Request
☐ Express Abandonment Request
☐ Information Disclosure Statement
☐ Certified Copy of Priority Document(s)
☐ Response to Missing Parts/ Incomplete Application
   ☐ Response to Missing Parts under 37 CFR 1.52 or 1.53

☐ Drawing(s)
☐ Licensing-related Papers
☒ Petition to Make Special
☐ Petition to Convert to a Provisional Application
☐ Power of Attorney, Revocation Change of Correspondence Address
☐ Terminal Disclaimer
☐ Request for Refund
☐ CD, Number of CD(s) _____

☐ After Allowance Communication to Group
☐ Appeal Communication to Board of Appeals and Interferences
☐ Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
☐ Proprietary Information
☐ Status Letter
☒ Other Enclosure(s) (please identify below):
Return Postcard
Related References: USP Appln. Nos.: (5) 2001/0025346, 2003/0126441, 2002/0157016
U.S. Patent No. 6,453,418
Int'l. Pat. Publn. No. WO 03/029940A2

Remarks	The Commissioner is authorized to charge any additional fees to Deposit Account 20-1430.

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Townsend and Townsend and Crew LLP
	Chun-Pok Leung Reg. No. 41,405
Signature	
Date	June 17, 2004

CERTIFICATE OF TRANSMISSION/MAILING

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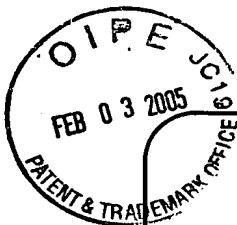
Typed or printed name	Joy B. Salvador		
Signature		Date	June 17, 2004

60242116 v1

FEE TRANSMITTAL
for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT ($) 130.00

Complete if Known	
Application Number	10/656,507
Filing Date	September 4, 2003
First Named Inventor	OSHIMA, Satoshi
Examiner Name	Unassigned
Art Unit	2131
Attorney Docket No.	16869K-092500US

METHOD OF PAYMENT *(check all that apply)*

☐ Check ☐ Credit Card ☐ Money Order ☐ Other ☐ None
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Deposit Account Number: **20-1430**

Deposit Account Name: **Townsend and Townsend and Crew LLP**

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FEE CALCULATION

1. BASIC FILING FEE

Large Entity Fee Code	Fee ($)	Small Entity Fee Code	Fee ($)	Fee Description	Fee Paid
1001	770	2001	385	Utility filing fee	
1002	340	2002	170	Design filing fee	
1003	530	2003	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	

SUBTOTAL (1) ($)0.00

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

	Extra Claims	Fee from below	Fee Paid
Total Claims	☐ -** =	☐ X ☐ =	☐
Independent Claims	☐ -** =	☐ X ☐ =	☐
Multiple Dependent		☐ X ☐ =	☐

Large Entity Fee Code	Fee ($)	Small Entity Fee Code	Fee ($)	Fee Description
1202	18	2202	9	Claims in excess of 20
1201	86	2201	43	Independent claims in excess of 3
1203	290	2203	145	Multiple dependent claim, if not paid
1204	86	2204	43	** Reissue independent claims over original patent
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) ($)0.00

***or number previously paid, if greater; For Reissues, see above**

FEE CALCULATION (continued)

3. ADDITIONAL FEES

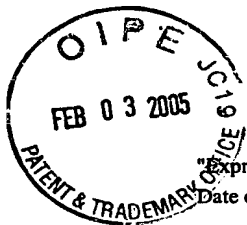| Large Entity Fee Code	Fee ($)	Small Entity Fee Code	Fee ($)	Fee Description	Fee Paid
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet.	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	420	2252	210	Extension for reply within second month	
1253	950	2253	475	Extension for reply within third month	
1254	1,480	2254	740	Extension for reply within fourth month	
1255	2,010	2255	1,005	Extension for reply within fifth month	
1401	330	2401	165	Notice of Appeal	
1402	330	2402	165	Filing a brief in support of an appeal	
1403	290	2403	145	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive – unavoidable	
1453	1,330	2453	665	Petition to revive – unintentional	
1501	1,330	2501	665	Utility issue fee (or reissue)	
1502	480	2502	240	Design issue fee	
1503	640	2503	320	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	130
1807	50	1807	50	Petitions related to provisional applications	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	770	2809	385	Filing a submission after final rejection (37 CFR § 1.129(a))	
1810	770	2810	385	For each additional invention to be examined (37 CFR § 1.129(b))	
1801	770	2801	385	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify) —————————

*Reduced by Basic Filing Fee Paid **SUBTOTAL (3)** ($)130.00

SUBMITTED BY

			Complete (if applicable)	
Name (Print/Type)	Chun-Pok Leung	Registration No. (Attorney/Agent) 41,405	Telephone	650-326-2400
Signature			Date	June 17, 2004

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60242084 v1

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Date of Deposit <u>June 17, 2004</u>

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JOY SALVADOR

<div align="center">

PATENT

Attorney Docket No.: 16869K-092500US

Client Ref. No.: 593/SM

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

</div>

In re application of:

    SATOSHI OSHIMA et al.

Application No.: 10/656,507

Filed: September 4, 2003

For: METHOD FOR UPDATING
SECURITY INFORMATION, CLIENT,
SERVER AND MANAGEMENT
COMPUTER THEREFOR

Customer No.: 20350

Examiner: Unassigned

Technology Center/Art Unit: 2131

Confirmation No.:   8026

<u>PETITION TO MAKE SPECIAL FOR
NEW APPLICATION UNDER M.P.E.P.
§ 708.02, VIII & 37 C.F.R. § 1.102(d)</u>

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

    This is a petition to make special the above-identified application under MPEP
§ 708.02, VIII & 37 C.F.R. § 1.102(d). The application has not received any examination by
an Examiner.

    (a)   The Commissioner is authorized to charge the petition fee of $130
under 37 C.F.R. § 1.17(i) and any other fees associated with this paper to Deposit Account
20-1430.

Appl. No. 10/656,507
Petition to Make Special

PATENT

(b)   All the claims are believed to be directed to a single invention. If the Office determines that all the claims presented are not obviously directed to a single invention, then Applicants will make an election without traverse as a prerequisite to the grant of special status.

(c)   Pre-examination searches were made of U.S. issued patents, including a classification search, a computer database search, and a keyword search. The searches were performed on or around April 30, 2004. The classification search covered Classes 709 (subclass 220) and 713 (subclasses 165, 168, and 200), and was conducted by a professional search firm, Kramer & Amado, P.C. The computer database search was conducted on the USPTO systems EAST and WEST. The keyword search was conducted in Classes 709 (subclasses 223 and 232) and 713 (subclasses 193 and 201).

(d)   The following references, copies of which are attached herewith, are deemed most closely related to the subject matter encompassed by the claims:

    (1)   U.S. Patent Application No. 2001/0025346 A1;

    (2)   U.S. Patent Application No. 2003/0126441 A1;

    (3)   U.S. Patent Application No. 2002/0157016 A1;

    (4)   U.S. Patent No. 6,453,418 B1;

    (5)   International Patent Publication No. WO 03/029940A2.

(e)   Set forth below is a detailed discussion of references which points out with particularly how the claimed subject matter is distinguishable over the references.

A.   Claimed Embodiments of the Present Invention

The claimed embodiments relate to a method and system for updating security information which is stored in a storage device of a server that is managed by a client. The client is a "diskless client" that does not include a local disk device. The security information in the storage device of the server is updated by a management computer connected to the server. One benefit is that the security information can be updated even when the operation of the client is halted.

Independent claim 1 recites a method for updating information on security, in which a client is connected with a server through a network. The server includes a storage device that is managed by the client. The storage device stores security information. The

Appl. No. 10/656,507
Petition to Make Special

PATENT

method comprises updating the security information stored in the storage device that the client manages in the server.

Independent claim 8 recites a client connected to a server through a network. The server includes a storage device. The client comprises a unit managing the storage in the server. The storage device stores security information. The security information is updated without operation of the client. The client further comprises a unit referencing the security information.

Independent claim 14 recites a server connected to a client through a network. The server comprises a unit communicating with the client through the network; and a storage device that is managed by the client. The storage device stores security information to be updated.

Independent claim 21 recites a management computer connected through a network to a server. The server includes a storage device that is managed by a client. The storage device stores security information of the client. The management computer comprises a unit communicating with the server through the network; and a unit updating the security information of the client.

B.   Discussion of the References

1.   U.S. Patent Application No. 2001/0025346 A1

This reference discloses security management and audit of a business information system in accordance with an information security policy. The security management system for controlling the security status of each of a plurality of managed systems includes a plurality of management sections corresponding to at least one managed system and the information security policy. Each management section controls the security status of the managed system corresponding thereto so as to adjust the security status to the information security policy corresponding thereto. A database 133 is provided for registering a correspondence of the information security policy. The management and audit program corresponding to a range of the information security policy and the object system, which are designated by an operator, is retrieved and automatically executed. The management and audit program performs a management and audit concerning an information security policy of an object system corresponding to itself. As shown in Fig. 1, an information security policy

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Petition to Make Special

PATENT

management and audit support apparatus 31 and management and audit object computers 32 are connected to each other through a network 33.

The reference is directed to a security management system for controlling the security status of each of a plurality of managed systems. The reference does not disclose updating security information stored in the storage device of a server that is managed by a client. Nor does it disclose a diskless client or a management computer that updates the security information.

2.   U.S. Patent Application No. 2003/0126441 A1

This reference discloses a single authentication for a plurality of services in a computing environment. When a first service of a plurality of related services is accessed, the user requesting access is provided with a security token that can be used by the user to access any one of the plurality of services on subsequent accesses. The user only needs to provide its authentication information once to access any number of related services. This eliminates the need for multiple log-ins for multiple uses of a plurality of services, thereby increasing speed and efficiency and reducing time and effort. In the embodiment shown, the user inputs the authentication information for transmission to the server 204 which, in response, verifies the information for the client 202. The session manager 236 of the server 204 evaluates whether the authentication is successful. If so, the session manager 236 establishes a session 232 and generates a security token for transmission to the client 202. The client 202 receives the security token for maintenance and subsequent use.

The reference is directed to a single authentication for a plurality of services. The reference does not disclose updating security information stored in the storage device of a server that is managed by a client. Nor does it disclose a diskless client or a management computer that updates the security information.

3.   U.S. Patent Application No. 2002/0157016 A1

This reference discloses a method and apparatus for data security for a distributed file system. Fig. 1 shows the interaction between client applications 108a, 108b and the distributed file system in opening files named "foo" and "bar." The client application 108a uses the distribution file system interface 104a to open foo. The open file request is transmitted to the meta-data server 102, which generates an encryption key. The security object, along with the open file request, is transmitted to the storage server 106 as shown by

Appl. No. 10/656,507
Petition to Make Special

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the ellipse 124. The security object includes a file identifier, encryption key, and a permission code that is associated with the client application. The security key is passed between components because the keys are created collaboratively, and the components will use them to decrypt the information. A block storage server 106 receives the security object and generates a list of blocks in the referenced file. The block list generally includes enough information for the block server to locate the data in subsequent requests from the client application, and the specific information is implementation dependent. The block list is then encrypted using the encryption key in the security object and is stored in the security object, and the updated security object is returned to the meta-data server 102, as shown in the ellipse 126. The meta-data server 102 returns the security object to the distributed file system interface 104a as shown by the ellipse 128. The distributed file system interface 104a returns a status code to the client application 108a. See [0024]-[0025].

The reference relates to data security provided in a distributed file system to avoid enforcing security at the file level. The reference does not teach updating security information stored in the storage device of a server that is managed by a client. Nor does it teach a diskless client or a management computer that updates the security information.

4.   U.S. Patent No. 6,453,418 B1

This reference discloses an information accessing method that permits the user data belonging to a client-server system 100 to be accessed by a user belonging to another client-server system 500 under proper security, and that controls the permission for accessing the user data according to the security ranks of the user whose data is to be accessed and the user who wants to access the data. When a client unit 20 issues a request for accessing the user data of the user belonging to the other client-server system, the request for access is sent to an ID conversion unit 15 through a user ID management unit 12. The ID conversion unit operates to convert a user ID into a guest ID by referring to an ID conversion table 440, and then sends the request for access to a user ID management unit 52. The user ID management unit makes sure that the guest ID is registered by referring to the user ID table. The request for access is sent to the user data management unit through security check units, so that the while or the open portion of the user data specified on the user data is allowed to be accessed. See column 5, line 35 to column 6, line 27.

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Petition to Make Special

PATENT

The reference relates to the use of ID conversion and ID management to provide access by a user of one client-server system to data in another client-server system. The reference fails to disclose updating security information stored in the storage device of a server that is managed by a client. It also fails to disclose a diskless client and a management computer that updates the security information.

5.   International Patent Publication No. WO 03/029940A2

This reference discloses a master policy server 101 that manages security policies for client computers 115-117, 119-121, 123-125 through a network of local policy servers 103 (managing clients 115-117), 105 (managing clients 119-121), 107 (managing clients 123-125). Each local policy server is responsible for the security policies on a group of clients and maintains a data store containing the security policies and security information pertaining to the client. Periodically, the master policy server and the local policy server synchronize, at which time the master policy server replicates updated policies to the local policy servers and the local policy servers upload client security statistics to the master policy server for consolidation into a global status. A local policy server may also request an updated security policy outside of the synchronization time frame. Similarly, the master policy server may request the client statistics from a local policy server outside of the synchronization time frame.
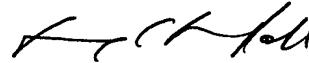
The reference relates to a master policy server that manages security policies through a network of local policy servers via periodic updates. The reference does not teach updating security information stored in the storage device of a server that is managed by a client. Nor does it teach a diskless client or a management computer that updates the security information.

Appl. No. 10/656,507
Petition to Make Special

PATENT

(f)   In view of this petition, the Examiner is respectfully requested to issue a first Office Action at an early date.

Respectfully submitted,

Chun-Pok Leung
Reg. No. 41,405

TOWNSEND and TOWNSEND and CREW LLP
Two Embarcadero Center, 8th Floor
San Francisco, California 94111-3834
Tel: 650-326-2400
Fax: 415-576-0300
Attachments
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